

## SITE VISIT PROTOCOL FOR EVALUATING PERFORMANCE

### BACKGROUND INFORMATION

Date of Visit: \_\_\_\_\_

Site Visit Conducted By: \_\_\_\_\_

Facility PT Application ID: \_\_\_\_\_

Facility Name: \_\_\_\_\_

Facility Location: \_\_\_\_\_

Facility Description (e.g., size, number of employees, principal activities, EMS fenceline):

Facility Personnel Participating:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### Type of EMS Assessment (check one or both)

☐ Independent Party Assessment - Who conducted it and what standards were used? (E.g., ISO 14001, RC 14001, CEMP, PT Independent Assessment Protocol, etc.)

\_\_\_\_\_

☐ Third-Party Assessment - Who conducted it and what standards were used? (E.g., ISO 14001, RC 14001, CEMP, PT Independent Assessment Protocol, etc.)

\_\_\_\_\_

# POLICY

## 1. ENVIRONMENTAL POLICY

**Describe your facility's environmental policy and how it was developed.**

- ☐ Are the goals and commitments stated in the policy effectively implemented through the EMS?
- ☐ How do you measure whether policy goals are achieved?
- ☐ Do both management and staff support the policy? To what extent have staff been involved in the development of the policy?
- ☐ Is the policy effectively communicated within and outside the facility?
- ☐ Does the policy truly drive environmental performance?

**Comments:**

# PLANNING

## 2. SCOPE OF EMS

Describe the scope of your facility's EMS and any areas or activities that do not fall within the scope.

- ☐ Does the EMS cover the entire physical area of the facility and all activities including any ancillary operations such as warehouses, power generation facilities, waste management facilities, offices, R&D facilities, other company divisions or product lines onsite, and contractors operating onsite?
- ☐ To what extent does your EMS address environmental matters within your value chain (e.g., suppliers and customers)?

Comments:

## 3. CHANGE MANAGEMENT

Describe your facility's process for ensuring the continued effectiveness of its EMS when changes occur at your facility, including changes in legal requirements.

- ☐ Does the facility consider the impacts of changes (e.g., management, budget, staffing, regulatory, product design, equipment, materials purchasing) on the effectiveness of its EMS and revise it as necessary?

Comments:

## 4. ENVIRONMENTAL ASPECTS

Explain your facility's process for conducting its aspects analyses.

- ☐ How do you ensure that you have captured the facility's entire environmental footprint? (see section on Monitoring and Measuring – ensure that facility is measuring and monitoring key environmental indicators beyond those associated with environmental goals and targets)
- ☐ Are all significant aspects identified?
- ☐ Does the process for assigning significance take into account the policy commitments, including the commitments to pollution prevention and continuous improvement? Are community concerns taken into account?

Comments:

## 5. OBJECTIVES AND TARGETS

Explain your facility's process for setting objectives and targets.

- ☐ Does the process for setting objectives and targets reflect the commitments to pollution prevention and continuous improvement? Does it take community concerns into account?
- ☐ What is the basis for approving environmental projects (e.g., a particular ROI)? Is the process conducted in conjunction with the budgeting process?
- ☐ Are all significant aspects addressed either through operational controls or objectives and targets?
- ☐ Are targets measureable/quantifiable?

Comments:

## **6. ENVIRONMENTAL MANAGEMENT PROGRAMS**

**Describe your facility's programs for achieving its environmental objectives and targets.**

- ☐ Are programs for achieving objectives and targets well-documented, measured, and monitored?
- ☐ Are the commitments for Performance Track integrated into the EMS as objectives and targets with EMPs?
- ☐ Explain whether EMPs actually help you to measure and track progress in addressing significant aspects.

**Comments:**

# IMPLEMENTATION AND OPERATION

## 7. STRUCTURE AND RESPONSIBILITY

**Explain how responsibilities for implementation and operation of the EMS are assigned.**

- ☐ Are roles and responsibilities assigned and communicated to managers and staff in a manner that ensures effective implementation and operation of the EMS?
- ☐ How do you ensure that employees understand their responsibilities under the EMS?
- ☐ Are responsibilities explicitly included in employee performance standards, job descriptions, or position descriptions?

**Comments:**

## 8. TRAINING, AWARENESS AND COMPETENCE

**Describe how your facility makes employees aware of how their work relates to significant environmental aspects and their roles and responsibilities within the EMS.**

- ☐ Do employees receive adequate training and have sufficient awareness in order to achieve the objectives of the EMS?
- ☐ How do you know that your training is effective?

**Comments:**

## 9. COMMUNICATION

**Explain how your facility communicates information on its EMS and environmental performance throughout the organization and externally.**

- ☐ How does your facility know whether it effectively communicates its environmental and EMS information internally and externally?

**Comments:**

## 10. EMS DOCUMENT CONTROL AND RECORDS

**Demonstrate that your facility documents the key EMS elements and has an adequate document control and records retention system.**

- ☐ How do you determine whether the document control and record retention system is working to keep your system up-to-date and properly documented?
- ☐ Do you view this as a burden or value-added exercise?
- ☐ How are changes in documents communicated to staff who need to know?

**Comments:**

## 11. OPERATIONAL CONTROL

Describe some of the operational procedures your facility uses to ensure that equipment and other operations comply with legal requirements and to address your facility's significant environmental aspects.

- ☐ How are these procedures communicated to employees and are these methods of communication effective?
- ☐ Are significant aspects not otherwise addressed through objectives and targets effectively addressed through operational controls?

Comments:

## 13. EMERGENCY PREPAREDNESS AND RESPONSE

Explain your facility's emergency preparedness and response procedures.

- ☐ Do you have different methods of assuring emergency preparedness versus emergency response?

Comments:

# CHECKING AND CORRECTIVE ACTION

## 14. MONITORING AND MEASUREMENT

Describe some of the key operations and activities (both regulated and non-regulated) that your facility monitors and measures to assess their impact on the environment.

- ☐ Are key environmental indicators being monitored and measured to enable you to: a) accurately identify your environmental footprint and b) to identify further opportunities for improvement?
- ☐ Are adequate quality assurance and quality control programs in place for monitoring and measuring those indicators?

Indicators Measured and Monitored (Cross-check with environmental requirements checklist):

### Upstream

- \_\_\_ Material Procurement
- \_\_\_ Supplier's Env'tl Performance

### Inputs

- \_\_\_ Material Use
- \_\_\_ Water Use
- \_\_\_ Energy Use
- \_\_\_ Land Use

### Nonproduct Outputs

- \_\_\_ Air Emissions
- \_\_\_ Discharges to Water
- \_\_\_ Waste (\_\_\_ Non-Hazardous/\_\_\_ Hazardous)
- \_\_\_ Noise
- \_\_\_ Vibration

### Downstream

- \_\_\_ Products

Comments:

## 15. EMS AND COMPLIANCE AUDITS

**Explain your facility's programs for auditing its conformance with its EMS and evaluating its compliance with relevant legal requirements.**

- ☐ Do staff have adequate training and experience in conducting compliance and EMS audits?
- ☐ What means do you use to ensure the accuracy and effectiveness of your audit programs?
- ☐ How do you use the auditing process and related programs (e.g., root cause analysis) to ensure continuous improvement of the EMS and environmental performance?
- ☐ How do you ensure the effectiveness of corrective and preventative measures?

**Comments:**

# MANAGEMENT REVIEW

## 16. MANAGEMENT REVIEW

Describe the management review of your facility's EMS and the process for addressing issues identified during the management review.

- ☐ How does management assess whether the EMS continues to be effective in achieving the policy commitments and other performance objectives?
- ☐ What are the typical topics discussed during management review?
- ☐ Who is involved in management review meetings?
- ☐ How is the EMS modified and/or improved as a result of management review?

Comments:

# INTERVIEW WITH TOP MANAGEMENT

## 1. MANAGEMENT INVOLVEMENT IN ENVIRONMENTAL POLICY

**Describe your involvement in the development and communication of your facility's environmental policy. How do you use the policy to guide decision-making at your facility**

**Comments:**

## 2. MANAGEMENT ROLE IN EMS

**Discuss your role in managing environmental issues and discuss how you use the facility's EMS to improve environmental performance.**

**Comments:**

### **3. MANAGEMENT ATTENTION TO EMS EFFECTIVENESS**

**How do you assess whether the EMS is effective in meeting your policy commitments, performance objectives, and overall effectiveness of your EMS?**

**Comments:**

### **4. MANAGEMENT EXPECTATIONS FOR NEPT PARTICIPATION**

**What do you see as the primary benefits of participating in Performance Track?  
What can EPA and/or the State do to improve the value of your participation in the program?**

**Comments:**

# PERFORMANCE COMMITMENTS

EXPLAIN YOUR PERFORMANCE COMMITMENTS AND THE PROGRESS MADE TO DATE  
TOWARD ACHIEVING THESE GOALS.

1. Commitment #1: \_\_\_\_\_

Baseline \_\_\_\_\_ Goal \_\_\_\_\_ Net Improvement \_\_\_\_\_

Current Level \_\_\_\_\_

Is the Commitment a Significant Aspect: Y/N

A. Why was this commitment selected and how was the particular level of performance set?

B. How will you measure progress toward your goal? How frequently will you measure progress and how will data be collected and aggregated? Please specify the source (actual measurement, estimated, modeled, etc.) and age of your environmental performance data for both baseline and ongoing measurements and whether there are systems in place to track data collection, check calculations, and ensure the overall quality of the data.

C. What is the basis of normalization for this commitment?

D. Describe your progress to-date against this commitment and the activities conducted to achieve this progress (noting any changes in your original plans).

**Comments:**

<b>2. Commitment #2:</b> _____ <b>Baseline</b> _____ <b>Goal</b> _____ <b>Net Improvement</b> _____ <b>Is Commitment a Significant Aspect:</b> Y/N
<b>A. Why was this commitment selected and how was the particular level of performance set?</b>
<b>B. How will you measure progress toward your goal? How frequently will you measure progress and how will data be collected and aggregated? Please specify the source and age of your environmental performance data (actual measurement, estimated, modeled, etc.) and whether there are systems in place to track data collection, check calculations, and ensure the overall quality of the data.</b>
<b>C. What is the basis of normalization for this commitment?</b>
<b>D. Describe your progress to-date against this commitment and the activities conducted to achieve this progress (noting any changes in your original plans).</b>
<b>Comments:</b>

<b>3. Commitment #3:</b> _____		
<b>Baseline</b> _____	<b>Goal</b> _____	<b>Net Improvement</b> _____
<b>Is Commitment a Significant Aspect: Y/N</b>		
<b>A. Why was this commitment selected and how was the particular level of performance set?</b>		
<b>B. How will you measure progress toward your goal? How frequently will you measure progress and how will data be collected and aggregated? Please specify the source and age of your environmental performance data (actual measurement, estimated, modeled, etc.) and whether there are systems in place to track data collection, check calculations, and ensure the overall quality of the data.</b>		
<b>C. What is the basis of normalization for this commitment?</b>		
<b>D. Describe your progress to-date against this commitment and the activities conducted to achieve this progress (noting any changes in your original plans).</b>		
<b>Comments:</b>		

<b>4. Commitment #4:</b> _____ <b>Baseline</b> _____ <b>Goal</b> _____ <b>Net Improvement</b> _____ <b>Is Commitment a Significant Aspect:</b> Y/N
<b>A. Why was this commitment selected and how was the particular level of performance set?</b>
<b>B. How will you measure progress toward your goal? How frequently will you measure progress and how will data be collected and aggregated? Please specify the source and age of your environmental performance data (actual measurement, estimated, modeled, etc.) and whether there are systems in place to track data collection, check calculations, and ensure the overall quality of the data.</b>
<b>C. What is the basis of normalization for this commitment?</b>
<b>D. Describe your progress to-date against this commitment and the activities conducted to achieve this progress (noting any changes in your original plans).</b>
<b>Comments:</b>

## **PUBLIC OUTREACH & PERFORMANCE REPORTING**

### **1. Describe how your facility identifies and responds to community concerns.**

- How do you define the “community” associated with/potentially affected by your facility?
- In general, what are the most significant environmental issues in your community? Are there any environmental justice issues associated with your community?
- With respect to your facility, what are the most significant environmental issues for your community?
- Are there citizens groups in your community with concerns about environmental issues? If so, what is your relationship with them?

**Comments:**

## **2. Describe your facility's process for informing the community of important matters that affect them.**

- What have you found to be the most effective methods for communicating about environmental matters with your local community?
- To what extent do you interact with your local business community on environmental matters?
- To what extent do you address environmental matters within your value chain?

**Comments:**

## **3. Describe your facility's process for reporting its environmental performance to the public, including the NEPT Annual Performance Report.**

**Comments:**

## **FACILITY FEEDBACK**

**1. What additional benefits and incentives – both for current members and to attract new members - would you like to see Performance Track provide? Are there specific environmental issues at your facility for which you would like assistance from EPA or the State?**

**2. What do you think is working well in the Performance Track Program? About the site visit process in particular?**

**3. What would you change about the Program? About the site visit process in particular?**

## SITE VISIT SUMMARY

Date of Visit: \_\_\_\_\_  
 Facility PT Application ID: \_\_\_\_\_  
 Facility Name/Location: \_\_\_\_\_

Site Visit Lead: \_\_\_\_\_  
 Facility Lead: \_\_\_\_\_

### Environmental Management System

#### POLICY

General Comments:

Noteworthy Practices:

Areas for Improvement:

#### PLANNING

General Comments:

Noteworthy Practices:

Areas for Improvement:

<b>IMPLEMENTATION &amp; OPERATION</b>	<p><b>General Comments:</b></p> <p><b>Noteworthy Practices:</b></p> <p><b>Areas for Improvement:</b></p>
<b>CHECKING &amp; CORRECTIVE</b>	<p><b>General Comments:</b></p> <p><b>Noteworthy Practices:</b></p> <p><b>Areas for Improvement:</b></p>
<b>MANAGEMENT REVIEW</b>	<p><b>General Comments:</b></p> <p><b>Noteworthy Practices:</b></p> <p><b>Areas for Improvement:</b></p>

Performance Commitments	
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<b>Commitment #1</b>	<b>General Comments:</b>  <b>Noteworthy Practices:</b>  <b>Areas for Improvement:</b>
<b>Commitment #2</b>	<b>General Comments:</b>  <b>Noteworthy Practices:</b>  <b>Areas for Improvement:</b>
<b>Commitment #3</b>	<b>General Comments:</b>  <b>Noteworthy Practices:</b>  <b>Areas for Improvement:</b>

**Commitment #4**

**General Comments:**

**Noteworthy Practices:**

**Areas for Improvement:**

Public Outreach & Performance Reporting	
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## Identifies and responds to community concerns

**General Comments:**

**Noteworthy Practices:**

**Areas for Improvement:**

**Noteworthy Practices:**

**Areas for Improvement:**

**Areas for Improvement:**

**1. Informs community of important matters**

**General Comments:**

**Noteworthy Practices:**

**Areas for Improvement:**

**Noteworthy Practices:**

**Areas for Improvement:**

**Areas for Improvement:**

## Reports on facility performance

**General Comments:**

**Noteworthy Practices:**

**Areas for Improvement:**

**Noteworthy Practices:**

**Areas for Improvement:**

**Areas for Improvement:**